

**FEC
FORM 3X****REPORT OF RECEIPTS
AND DISBURSEMENTS**
For Other Than An Authorized Committee

Office Use Only

1. NAME OF
COMMITTEE (in full)**USE FEC MAILING LABEL
OR TYPE OR PRINT**Example: If typing, type
over the lines

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street)

1101 New York Avenue, NW

8th Floor

☐Check if different
than previously
reported. (ACC)

Washington

DC

20005

2. **FEC IDENTIFICATION NUMBER**

CITY

STATE

ZIP CODE

C00431312

3. IS THIS
REPORT☒NEW
(N)

OR

☐AMENDED
(A)4. **TYPE OF REPORT**

(Choose One)

(a) Quarterly Reports:

☐April 15
Quarterly Report (Q1)☐July 15
Quarterly Report (Q2)☐October 15
Quarterly Report (Q3)☐January 31
Quarterly Report (YE)☐July 31 Mid-Year
Report (Non-election
Year Only) (MY)☐Termination Report
(TER)(b) Monthly
Report
Due On:☐

Feb 20 (M2)

☐

May 20 (M5)

☒

Aug 20 (M8)

☐Nov 20 (M11)
(Non-Election
Year Only)☐

Mar 20 (M3)

☐

Jun 20 (M6)

☐

Sep 20 (M9)

☐Dec 20 (M12)
(Non-Election
Year Only)☐

Apr 20 (M4)

☐

Jul 20 (M7)

☐

Oct 20 (M10)

☐

Jan 31 (YE)

(c) 12-Day
PRE-Election
Report for the:☐

Primary (12P)

☐

General (12G)

☐

Runoff (12R)

☐

Convention (12C)

☐

Special (12S)

Election on

in the
State of(d) 30-Day
Post -Election
Report for the:☐

General (30G)

☐

Runoff (30R)

☐

Special (30S)

Election on

in the
State of

5. Covering Period

07

01

2010

through

07

31

2010

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer

Mr. Kenneth E. Bentsen, Jr.

Signature of Treasurer

Electronically Filed by Mr. Kenneth E. Bentsen, Jr.

Date

08

20

2010

NOTE : Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g.

Office
Use
Only**FEC FORM 3X**
(Rev. 12/2004)

SUMMARY PAGE

OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

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Write or Type Committee Name
Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From:

M	M
0	7

D	D
0	1

Y	Y	Y	Y
2	0	1	0

 To:

M	M
0	7

D	D
3	1

Y	Y	Y	Y
2	0	1	0

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1 <div>2010^Y ^Y ^Y</div>		111977.94
(b) Cash on Hand at Beginning of Reporting Period	174334.75	
(c) Total Receipts (from Line 19)	79796.85	260201.44
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	254131.60	372179.38
7. Total Disbursements (from Line 31)	31748.36	149796.14
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	222383.24	222383.24
9. Debts and Obligations owed TO the committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations owed BY the committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE **OF RECEIPTS**

FEC Form 3X (Rev. 06/2004)

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Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M	M
0	7

D	D
0	1

Y	Y	Y	Y
2	0	1	0

To:

M	M
0	7

D	D
3	1

Y	Y	Y	Y
2	0	1	0

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A)	55019.85	181560.50
(ii) Unitemized	20528.64	31844.80
(iii) TOTAL (add Lines 11(a)(i) and (ii)	75548.49	213405.30
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	4000.00	39000.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	79548.49	252405.30
12. Transfers From Affiliated/Other Party Committees	0.00	0.00
13. All Loans Received	0.00	0.00
14. Loan Repayments Received	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5)	248.36	2796.14
16. Refunds of Contributions Made to Federal candidates and Other Political Committees	0.00	5000.00
17. Other Federal Receipts (Dividends, Interest, etc.)	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3)	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	79796.85	260201.44
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	79796.85	260201.44

DETAILED SUMMARY PAGE

of Disbursements

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FEC Form 3X (Rev. 02/2003)

II. DISBURSEMENTS		COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:			
(a) Shared Federal/Non-Federal Activity (from Schedule H4)			
(i) Federal Share.....	0.00	0.00	
(ii) Non-Federal Share.....	0.00	0.00	
(b) Other Federal Operating Expenditures.....	248.36	2796.14	
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ➤	248.36	2796.14	
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00	
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	31500.00	147000.00	
24. Independent Expenditure (use Schedule E)	0.00	0.00	
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00	
26. Loan Repayments Made.....	0.00	0.00	
27. Loans Made.....	0.00	0.00	
28. Refunds of Contributions To:			
(a) Individuals/Persons Other Than Political Committees	0.00	0.00	
(b) Political Party Committees	0.00	0.00	
(c) Other Political Committees (such as PACs)	0.00	0.00	
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c))	0.00	0.00	
29. Other Disbursements.....	0.00	0.00	
30. Federal Election Activity (2 U.S.C 431(20))			
(a) Shared Federal Election Activity (from Schedule H6)			
(i) Federal Share	0.00	0.00	
(ii) "Levin" Share	0.00	0.00	
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00	
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00	
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	31748.36	149796.14	
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	31748.36	149796.14	

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

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III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) from Line 11(d), page 3)	79548.49	252405.30
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	79548.49	252405.30
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	248.36	2796.14
37. Offsets to Operating Expenditures (from Line 15, page 3)	248.36	2796.14
38. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	0.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Randolph C. Snook

Mailing Address 74 Beverly Drive

City

Bernardsville

State

NJ

Zip Code

07924-1302

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Executive VP, US Business Policies & P

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

M M / D D / Y Y Y Y Y
07 / 01 / 2010

Transaction ID: 18388115

Amount of Each Receipt this Period

2500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms Kim Chamberlain

Mailing Address 15 White Oak Ridge Court

City

Mendham

State

NJ

Zip Code

07945-2931

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y
07 / 01 / 2010

Transaction ID: 18388124

Amount of Each Receipt this Period

1000.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Richard Tang

Mailing Address 600 Washington Blvd

City

Stamford

State

CT

Zip Code

06901-3726

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBS Securities

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y
07 / 01 / 2010

Transaction ID: 18388135

Amount of Each Receipt this Period

1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)

4500.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City

Wyckoff

State

NJ

Zip Code

07481-1141

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 0 2 / 2 0 1 0

Transaction ID: 18388353

Amount of Each Receipt this Period

38.50

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms Elizabeth Varley

Mailing Address 8424 Frost Way

City

Annandale

State

VA

Zip Code

22003-2221

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1250.60

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 0 2 / 2 0 1 0

Transaction ID: 18388354

Amount of Each Receipt this Period

96.20

Contribution

C.

Full Name (Last, First, Middle Initial)

Ms. Margaret Simmons

Mailing Address 4743 Bradley Blvd.
Number 304

City

Chevy Chase

State

MD

Zip Code

20815

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1250.60

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 0 2 / 2 0 1 0

Transaction ID: 18388356

Amount of Each Receipt this Period

96.20

Contribution

SUBTOTAL of Receipts This Page (optional)

230.90

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

462.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 0 2 / 2 0 1 0

Transaction ID: 18388359

Amount of Each Receipt this Period

38.50

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

462.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 0 2 / 2 0 1 0

Transaction ID: 18388361

Amount of Each Receipt this Period

38.50

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.55

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 0 2 / 2 0 1 0

Transaction ID: 18388363

Amount of Each Receipt this Period

192.35

Contribution

SUBTOTAL of Receipts This Page (optional)

269.35

TOTAL This Period (last page this line number only)

**SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS**Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 9 / 61

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City

Port Monmouth

State

NJ

Zip Code

07758-1676

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

750.10

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	7		0	2		2	0	1	0

Transaction ID: 18388365

Amount of Each Receipt this Period

57.70

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1300.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	7		0	2		2	0	1	0

Transaction ID: 18388367

Amount of Each Receipt this Period

100.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Carroll Ann Smith

Mailing Address 905 Lake Lily Drive
Apt. C421

City

Maitland

State

FL

Zip Code

32751-7637

FEC ID number of contributing
federal political committee.

C

Name of Employer
Pershing LLC

Occupation

Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	7		0	2		2	0	1	0

Transaction ID: 18395863

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

407.70

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 10 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Russell Heise

Mailing Address 430 Madison Street

City

Denver

State

CO

Zip Code

80206-4439

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Senior Vice President

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 0 1 / 2 0 1 0

Transaction ID: 18395866

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Matt Boles

Mailing Address 4659 Belclair Avenue

City

Dallas

State

TX

Zip Code

75209-6003

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 0 1 / 2 0 1 0

Transaction ID: 18395867

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Tully C. Tupper

Mailing Address 13912 Riverbitch Trail

City

Midlothian

State

VA

Zip Code

23112-4639

FEC ID number of contributing
federal political committee.

C

Name of Employer
Scott & Stringfellow, Inc.

Occupation

Private Wealth Management

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 0 7 / 2 0 1 0

Transaction ID: 18414971

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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FOR LINE NUMBER: PAGE 11 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Charles W. Hubbard

Mailing Address 2400 Butternut Drive

City

Hillsborough

State

CA

Zip Code

94010-6202

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Regional Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 0 7 / 2 0 1 0

Transaction ID: 18414974

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Scott Eichel

Mailing Address 12 Heathcote Road

City

Scarsdale

State

NY

Zip Code

10583-4416

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBS Securities

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 0 6 / 2 0 1 0

Transaction ID: 18415315

Amount of Each Receipt this Period

1500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Jon Scheller

Mailing Address 46 Clair Street

City

Bloomfield

State

NJ

Zip Code

07003-4137

FEC ID number of contributing
federal political committee.

C

Name of Employer
Pershing LLC

Occupation

Managing Director - People Services

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 0 2 / 2 0 1 0

Transaction ID: 18415680

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

2500.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Michael Kollender

Mailing Address 98 O'Shaughnessy Lane

City

State

Zip Code

Closter

NJ

07624-3214

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 8 / 2 0 1 0

Transaction ID: 18438121

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Larry J.K. Goeas

Mailing Address 45-166 Ikenakai Street

City

State

Zip Code

Kaneohe

HI

96744-5324

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18438140

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Daniel Heimowitz

Mailing Address 136 East 79th Street

City

State

Zip Code

New York

NY

10075-0328

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 4 / 2 0 1 0

Transaction ID: 18438152

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 13 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Robert B. Archibald

Mailing Address 294 Paraiso Drive

City

Danville

State

CA

Zip Code

94526-4950

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Director Institutional Sales

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 4 / 2 0 1 0

Transaction ID: 18438153

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Daniel B. Burton

Mailing Address 634 Northfield Road

City

Lititz

State

PA

Zip Code

17543-8355

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 3 / 2 0 1 0

Transaction ID: 18438154

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. James J. Tricoli

Mailing Address 709 Great Springs Road

City

Bryn Mawr

State

PA

Zip Code

19010-1703

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 3 / 2 0 1 0

Transaction ID: 18438155

Amount of Each Receipt this Period

1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)

2000.00

TOTAL This Period (last page this line number only)

**SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS**Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 14 / 61

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17
---	------------------------------	------------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Robert E. Spangler

Mailing Address 61 Bridle Path Lane

City

New Canaan

State

CT

Zip Code

06840-3906

FEC ID number of contributing
federal political committee.**C**Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐

Primary

☐

General

☐

Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	7	/	1	2	/	2	0	1	0

Transaction ID: 18438161

Amount of Each Receipt this Period

1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Kurt M. Freund

Mailing Address 4849 E. Pebble Ridge Road

City

Paradise Valley

State

AZ

Zip Code

85253-4079

FEC ID number of contributing
federal political committee.**C**Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐

Primary

☐

General

☐

Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	7	/	0	8	/	2	0	1	0

Transaction ID: 18438167

Amount of Each Receipt this Period

1000.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Robert S. Allen

Mailing Address 505 August Hills Drive

City

La Crescent

State

MN

Zip Code

55947-1066

FEC ID number of contributing
federal political committee.**C**Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐

Primary

☐

General

☐

Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	7	/	1	9	/	2	0	1	0

Transaction ID: 18438223

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

2250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 15 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Charles D. Mayer

Mailing Address 300 East 74th Street
Apt. 35A

City State Zip Code
New York NY 10021-3712

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation
Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438234

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Chris J. Cerniglia

Mailing Address 11902 Lakeshore Place

City State Zip Code
North Palm Beach FL 33408-3249

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation
Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438245

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Keith Downard

Mailing Address 6177 Jamison Place

City State Zip Code
Canfield OH 44406-9565

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation
Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438338

Amount of Each Receipt this Period

2500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

3000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 16 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Leland McDonough

Mailing Address 113 Valley Street

City

Beverly

State

MA

Zip Code

01915-2223

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438343

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. William M. Greenwood

Mailing Address 3516 Northwestern Avenue

City

Wausau

State

WI

Zip Code

54403-9260

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438345

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Matthew E. Power

Mailing Address 403 West Dudley Avenue

City

Westfield

State

NJ

Zip Code

07090-4019

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438349

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 17 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. James H. Williams, Jr.

Mailing Address 474 Miller Road

City

Franklin

State

PA

Zip Code

16323-3534

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438350

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. James L. Johnson, III

Mailing Address 2 Oakleigh Lane

City

Saint Louis

State

MO

Zip Code

63124-1360

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438351

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Martin D. Lawson

Mailing Address 64 Davis Street

City

Binghamton

State

NY

Zip Code

13905-4238

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438352

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 18 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Brian Johnson

Mailing Address 101 Walker Way Blvd, #B-5

City

Walker

State

MN

Zip Code

56484-1237

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

SVP, Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438353

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Norman H. Raymond

Mailing Address 9 Holmehill Lane

City

Roseland

State

NJ

Zip Code

07068-1422

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438354

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. John Russell

Mailing Address 232 N. Kingshighway Ave, #2502

City

Saint Louis

State

MO

Zip Code

63108

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438674

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 19 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Barry Bannister

Mailing Address 2715 Heavenwood Court

City

Ellicott City

State

MD

Zip Code

21042-2008

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Equity Analyst

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438695

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Mitchel C. Peterson

Mailing Address 2911 Valley View Road

City

Ames

State

IA

Zip Code

50014-4512

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438696

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Robert Stockdale

Mailing Address 502 Waterside Ct.

City

Saint Charles

State

MO

Zip Code

63304-1231

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438700

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 20 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Wallace Tart

Mailing Address 409 Taylor Ave

City

Annapolis

State

MD

Zip Code

21401-2331

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438706

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Robert Kuech

Mailing Address 6608 Via De La Reina

City

Bonsall

State

CA

Zip Code

92003-7007

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice Presidents/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18438773

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. William Allison, Jr.

Mailing Address 4832 Kendall Avenue

City

Gulfport

State

MS

Zip Code

39507-4407

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18439716

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 21 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Bruce Frankenberg

Mailing Address 20142 Deer Chase Court

City

Barrington

State

IL

Zip Code

60010-3653

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

350.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18439848

Amount of Each Receipt this Period

100.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. J.B. Frailey

Mailing Address 4431 Saddleridge Farm Drive

City

Saint Louis

State

MO

Zip Code

63129-6317

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Assistant Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18440284

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Ms. Deborah L. Pederson

Mailing Address 1736 Know Avenue South

City

Minneapolis

State

MN

Zip Code

55403-2833

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Executive Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18440307

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

600.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 22 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Paul Carothers

Mailing Address 14006 Montrachet Lane

City

Chesterfield

State

MO

Zip Code

63017-8320

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18440318

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Thomas Schrader

Mailing Address 46 Springhill Farm Court

City

Cockeysville

State

MD

Zip Code

21030-1400

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 9 / 2 0 1 0

Transaction ID: 18440326

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Paul J. Cassidy

Mailing Address 6200 Uptown Boulevard Northeast
Suite 110

City

Albuquerque

State

NM

Zip Code

87110-4160

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18440764

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 23 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. Kathleen A. Costine

Mailing Address 200 Vesey Street, 12th Floor

City

New York

State

NY

Zip Code

10285-1000

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18440888

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Todd I. Braff

Mailing Address 189 Green Hills Road

City

Cincinnati

State

OH

Zip Code

45208-3421

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18440890

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City

Wyckoff

State

NJ

Zip Code

07481-1141

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

539.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440897

Amount of Each Receipt this Period

38.50

Contribution

SUBTOTAL of Receipts This Page (optional)

1038.50

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 24 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms Elizabeth Varley

Mailing Address 8424 Frost Way

City

Annandale

State

VA

Zip Code

22003-2221

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1346.80

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440902

Amount of Each Receipt this Period

96.20

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms. Margaret Simmons

Mailing Address 4743 Bradley Blvd.
Number 304

City

Chevy Chase

State

MD

Zip Code

20815

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1346.80

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440904

Amount of Each Receipt this Period

96.20

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440908

Amount of Each Receipt this Period

38.50

Contribution

SUBTOTAL of Receipts This Page (optional)

230.90

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 25 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440912

Amount of Each Receipt this Period

38.50

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2692.90

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440915

Amount of Each Receipt this Period

192.35

Contribution

C.

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City State Zip Code
Port Monmouth NJ 07758-1676

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

807.80

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440917

Amount of Each Receipt this Period

57.70

Contribution

SUBTOTAL of Receipts This Page (optional)

288.55

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 26 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1400.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 1 6 / 2 0 1 0

Transaction ID: 18440922

Amount of Each Receipt this Period

100.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms. Helen Feinberg

Mailing Address 702 Pass-a-Grille Way

City State Zip Code
St. Pete Beach FL 33706

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 1 / 2 0 1 0

Transaction ID: 18440924

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Michael E. Bosway

Mailing Address 5580 Washington Blvd.

City State Zip Code
Indianapolis IN 46220-3030

FEC ID number of contributing
federal political committee.

C

Name of Employer
City Securities Corporati-
on

Occupation
President and CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 1 / 2 0 1 0

Transaction ID: 18440937

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1100.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. John Puig

Mailing Address 4 Chestnut Hill Road North

City

Loudonville

State

NY

Zip Code

12211-1661

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 1 / 2 0 1 0

Transaction ID: 18440942

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. J. David Crawford

Mailing Address 212 Ellicot Road

City

Centerville

State

MA

Zip Code

02632-3659

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18442338

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Thomas L. Sickler

Mailing Address 1505 E. Tufts Avenue

City

Englewood

State

CO

Zip Code

80113-5951

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

SVP/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18442346

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. John M. Surgent, Jr.

Mailing Address 9840 Warington Square

City

Saint Louis

State

MO

Zip Code

63141-7909

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

385.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18442362

Amount of Each Receipt this Period

195.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Stephen E. Shevlin

Mailing Address 7 Dogwood Est

City

Glen Carbon

State

IL

Zip Code

62034-1530

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18442365

Amount of Each Receipt this Period

1000.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. William H. Olsen

Mailing Address 11650 Calle Javelina

City

Tucson

State

AZ

Zip Code

85748-8355

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

First Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18442370

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1445.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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FOR LINE NUMBER: PAGE 29 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. James C. Citro

Mailing Address 417 S. 24th

City

Quincy

State

IL

Zip Code

62301-4428

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice Presidents/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 2 / 2 0 1 0

Transaction ID: 18442371

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Thomas J. Cavalier

Mailing Address 34 Cherry Hill Court

City

Canfield

State

OH

Zip Code

44406-8638

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicholas & Co.,
Inc.

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 2 / 2 0 1 0

Transaction ID: 18442373

Amount of Each Receipt this Period

1000.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Ms. Angela K. Sugimura

Mailing Address 21950 The Trails Circle

City

Murrieta

State

CA

Zip Code

92562-9744

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 2 / 2 0 1 0

Transaction ID: 18442376

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 30 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Gary K. Moss

Mailing Address 8445 Coral Reef Court

City

Indianapolis

State

IN

Zip Code

46256-9505

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 2 / 2 0 1 0

Transaction ID: 18442394

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Christopher Wasson

Mailing Address 38 Springhill Farm Court

City

Cockeysville

State

MD

Zip Code

21030-1400

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442426

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Allen Brautigam

Mailing Address 28 Westbury Court

City

Skillman

State

NJ

Zip Code

08558-1726

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442452

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Gary A. King

Mailing Address 18728 S. Mingo

City

Bixby

State

OK

Zip Code

74008-6624

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442456

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Kevin Healy

Mailing Address 5 Guardian Court

City

Mount Sinai

State

NY

Zip Code

11766-2322

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President, Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442463

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Phillip A. Hamilton

Mailing Address 7261 Greenway

City

Saint Louis

State

MO

Zip Code

63130-4126

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442469

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 32 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Charles D. Vine

Mailing Address 203 Saint Andrews

City

Cortland

State

OH

Zip Code

44410-8723

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442590

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. James E. Dzikowski

Mailing Address One Fox Chase Lane

City

Morristown

State

NJ

Zip Code

07960-4731

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442596

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Duane K. Thomas

Mailing Address 14 Clarkson Farm Drive

City

Chesterfield

State

MO

Zip Code

63017-7346

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 0 / 2 0 1 0

Transaction ID: 18442599

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Lawrence R. Delhagen, Jr.

Mailing Address 1015 N. 7th Street

City

Emmaus

State

PA

Zip Code

18049-1607

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 5 / 2 0 1 0

Transaction ID: 18448014

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. William H. Parse

Mailing Address 3246 Wadsworth

City

Portage

State

MI

Zip Code

49024-7843

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 4 / 2 0 1 0

Transaction ID: 18448020

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Paul C. Druke

Mailing Address 8851 River Ridge

City

Middleville

State

MI

Zip Code

49333-9304

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18448024

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Peter J. Kramer

Mailing Address 24828 Blue Iris Court North

City

Plainfield

State

IL

Zip Code

60585-2934

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

251.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18448026

Amount of Each Receipt this Period

251.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Shawn Dralle

Mailing Address 90 W. Virginia Avenue

City

Phoenix

State

AZ

Zip Code

85003-1000

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18448032

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Robert R. Heinze

Mailing Address 30370 Copper Hill Court

City

Redlands

State

CA

Zip Code

92373-7373

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18448042

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1001.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Nona F. Hasegawa

Mailing Address 925 Fourth Avenue, Suite 3800

City

Seattle

State

WA

Zip Code

98104-1129

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 3 / 2 0 1 0

Transaction ID: 18448045

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Michael F. Imhoff

Mailing Address 2075 Cherryville Road

City

Greenwood Village

State

CO

Zip Code

80121-1508

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

750.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18449358

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Raymond J. Palmer

Mailing Address 231 Toussaint Landing Drive

City

Dardenne Prairie

State

MO

Zip Code

63368-7582

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

First Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18449996

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. James R. Livasy

Mailing Address 5222 N. MacArthur Road

City

Forsyth

State

IL

Zip Code

62535-9709

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450006

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Jonathan Scott Larson

Mailing Address 658 Sheridan Road

City

Waterloo

State

IA

Zip Code

50701-4940

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450064

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Murray B. Segal

Mailing Address 12420 Clearfalls Drive

City

Boca Raton

State

FL

Zip Code

33428-4845

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450067

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Monte P. Custer

Mailing Address 80 Saint Andrews Place

City

Rockport

State

TX

Zip Code

78382-6981

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450070

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr David J Gunter

Mailing Address 8406 E. Reidsburg Rd

City

Clarion

State

PA

Zip Code

16214-3218

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manger

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450084

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Kurt D. Gilge

Mailing Address 3536 NW 3rd Avenue

City

Camas

State

WA

Zip Code

98607-9381

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450085

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Mark Maroney

Mailing Address 57 Monmouth Parkway

City

Monmouth Beach

State

NJ

Zip Code

07750-1127

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director & Head Municipal Div

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450092

Amount of Each Receipt this Period

1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Alan L. Olsen

Mailing Address W144 N10668 Lincoln Drive

City

Germantown

State

WI

Zip Code

53022-4396

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450116

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. John Coutts

Mailing Address 9498 Dillon Court

City

Durham

State

CA

Zip Code

95938-9697

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Asst. Branch Manager/Senior Vice Presi

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450127

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1500.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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Detailed Summary Page

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Tracy J. Yanke

Mailing Address 7513 Runnel Road

City

Bismarck

State

ND

Zip Code

58503-1526

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450132

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Duncan Lamme

Mailing Address 3043 Reba

City

Houston

State

TX

Zip Code

77019-6203

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 6 / 2 0 1 0

Transaction ID: 18450140

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Robert Codignotto

Mailing Address 50 Charles Lindberg Blvd.

City

Uniondale

State

NY

Zip Code

11553-3627

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 7 / 2 0 1 0

Transaction ID: 18450148

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. David P. Lazar

Mailing Address 303 North Ashview Lane

City

Greenville

State

DE

Zip Code

19807-2170

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

750.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 7 / 2 0 1 0

Transaction ID: 18450195

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Joseph Buono

Mailing Address 97 East Mahwah Road

City

Mahwah

State

NJ

Zip Code

07430-1402

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

SVP Investments/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 7 / 2 0 1 0

Transaction ID: 18450201

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Peter D. VanDer Schaaf

Mailing Address 1451 Broadview Drive

City

Jenison

State

MI

Zip Code

49428-8542

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 7 / 2 0 1 0

Transaction ID: 18450225

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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Detailed Summary Page

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☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Kenneth R. Blumberg

Mailing Address 1115 Olive

City

Collinsville

State

IL

Zip Code

62234-4116

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 7 / 2 0 1 0

Transaction ID: 18450274

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. James E. Dickman

Mailing Address 1825 Beech Grove

City

Charlottesville

State

VA

Zip Code

22911-2202

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450275

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Gary Wunderlich

Mailing Address 600 Poplar Avenue, #150

City

Memphis

State

TN

Zip Code

38105-4510

FEC ID number of contributing
federal political committee.

C

Name of Employer
Wunderlich Securities, In-
c.

Occupation

Chief Executive Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 7 / 2 0 1 0

Transaction ID: 18450290

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Randolph J. Sinz

Mailing Address 1710 Menomonie Street, #4

City

Eau Claire

State

WI

Zip Code

54703-6284

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450304

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. John D. Roberts

Mailing Address 3970 Asher Court

City

San Jose

State

CA

Zip Code

95124-2603

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450307

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Paul T. Putzel

Mailing Address 325 N. Meramec Avenue, Apt. 15

City

Clayton

State

MO

Zip Code

63105-3780

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450317

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Craig A. Lange

Mailing Address 6720 Wynfield Terrace Drive

City

Saint Louis

State

MO

Zip Code

63129-3972

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

First Vice President, Manager Insuranc

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450320

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Richard J. Himelfarb

Mailing Address 3908 N. Charles St., Apt. 703

City

Baltimore

State

MD

Zip Code

21218-1744

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Executive Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450321

Amount of Each Receipt this Period

1000.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Paul D. Hefley

Mailing Address 1883 Hecker Road

City

Owensville

State

MO

Zip Code

65066-3203

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450322

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Lawrence E. Turner

Mailing Address 116 Southern Hills Drive

City

Atlantic

State

IA

Zip Code

50022-2583

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450326

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Henry Otten

Mailing Address 1135 Braircliff Trail

City

Brookfield

State

WI

Zip Code

53045-4611

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450328

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. David K. Palagi

Mailing Address 303 Churn Creek Drive

City

Bozeman

State

MT

Zip Code

59715-7847

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450330

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Guy W. Richardson

Mailing Address 3829 Stoneryridge Drive

City

Dayton

State

OH

Zip Code

45429-1649

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450351

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Lanis Noble

Mailing Address 101 Hickory Cove

City

Brandon

State

MS

Zip Code

39047-8361

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450352

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. William P. Hatley

Mailing Address P.O. Box 185

City

Waterloo

State

IL

Zip Code

62298-0185

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450356

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Rodney B. Krause

Mailing Address 52 Chaminade Drive

City

Creve Coeur

State

MO

Zip Code

63141-8446

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18450388

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Jay Wilday

Mailing Address Tuscany Plaza
6312 South Fiddlers Green Circle,

City

Greenwood Village

State

CO

Zip Code

80111-4945

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18450393

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Morris A. Searcy

Mailing Address 3356 Lagrange Rd

City

Shelbyville

State

KY

Zip Code

40065-9094

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

First VP- Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18450397

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Lawrence S. Herring

Mailing Address 15811 North 11th Street

City

Phoenix

State

AZ

Zip Code

85022-3138

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18450399

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Donald Van De Steene

Mailing Address 3105 McKail

City

Bruce Twp

State

MI

Zip Code

48065-1021

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450410

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Drew Breittholz

Mailing Address 8101 Falls Lane

City

Parkland

State

FL

Zip Code

33067-0905

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Investment Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450417

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Marvin E. Slaughter

Mailing Address 619 Fairway Drive

City

Florence

State

SC

Zip Code

29501-5509

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 8 / 2 0 1 0

Transaction ID: 18450421

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. John D. Orcutt, Jr.

Mailing Address 4665 Pebble Bay S.

City

Vero Beach

State

FL

Zip Code

32963-1112

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18450428

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Mark C. Matthes

Mailing Address 3125 Southridge Park Lane

City

Saint Louis

State

MO

Zip Code

63129-7033

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18450431

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City

Wyckoff

State

NJ

Zip Code

07481-1141

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Occupation

Managing Director

Aggregate Year-to-Date ▼

577.50

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450435

Amount of Each Receipt this Period

38.50

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms Elizabeth Varley

Mailing Address 8424 Frost Way

City

Annandale

State

VA

Zip Code

22003-2221

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Occupation

Managing Director

Aggregate Year-to-Date ▼

1443.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450436

Amount of Each Receipt this Period

96.20

Contribution

C.

Full Name (Last, First, Middle Initial)

Ms. Margaret Simmons

Mailing Address 4743 Bradley Blvd.
Number 304

City

Chevy Chase

State

MD

Zip Code

20815

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Occupation

Managing Director

Aggregate Year-to-Date ▼

1443.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450437

Amount of Each Receipt this Period

96.20

Contribution

SUBTOTAL of Receipts This Page (optional)

230.90

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 50 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

539.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450439

Amount of Each Receipt this Period

38.50

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

539.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450440

Amount of Each Receipt this Period

38.50

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2885.25

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450441

Amount of Each Receipt this Period

192.35

Contribution

SUBTOTAL of Receipts This Page (optional)

269.35

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City

Port Monmouth

State

NJ

Zip Code

07758-1676

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

865.50

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450442

Amount of Each Receipt this Period

57.70

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18450444

Amount of Each Receipt this Period

100.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Mark Serby

Mailing Address 184 Columbia Tpk
Unit 4-314

City

Florham Park

State

NJ

Zip Code

07932

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager-Senior VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18475733

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

407.70

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 52 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. David J. Dewar, Jr.

Mailing Address 1004 Havenwood Drive

City

Libertyville

State

IL

Zip Code

60048-2527

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18475738

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Eldon Miller

Mailing Address 60 South 6th Street, #3000

City

Minneapolis

State

MN

Zip Code

55402-4430

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18475741

Amount of Each Receipt this Period

2500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Todd Miller

Mailing Address 4814 Lakeview Drive

City

Edina

State

MN

Zip Code

55424-1522

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18475742

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

3250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 53 / 61

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Michael A. Baumrin

Mailing Address 577 4th Street

City

Brooklyn

State

NY

Zip Code

11215-3008

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐

Primary

☐

General

☐

Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 9 / 2 0 1 0

Transaction ID: 18475743

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. David Muscarella

Mailing Address 122 Maumell Street

City

Hinsdale

State

IL

Zip Code

60521-3525

FEC ID number of contributing
federal political committee.

C

Name of Employer
Stifel, Nicolaus & Compan-
y, Incorporat

Occupation

Managing Director

Receipt For:

☐

Primary

☐

General

☐

Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 3 0 / 2 0 1 0

Transaction ID: 18475748

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

55019.85

**SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS**Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 54 / 61

(check only one)

<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input checked="" type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

AEGON USA PAC

Mailing Address 1111 North Charles Street
MS #17City State Zip Code
Baltimore MD 21201FEC ID number of contributing
federal political committee.**C** C00236414

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4000.00

Date of Receipt

M M / D D / Y Y Y Y
0 7 / 2 1 / 2 0 1 0

Transaction ID: 18440932

Amount of Each Receipt this Period

4000.00

Contribution

SUBTOTAL of Receipts This Page (optional) ▶

4000.00

TOTAL This Period (last page this line number only) ▶

4000.00

**SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS**Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 55 / 61

(check only one)

<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input checked="" type="checkbox"/> 15	<input type="checkbox"/> 16
			<input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Securities Industry and Financial Markets Association

Mailing Address 120 Broadway
Floor 35

City	State	Zip Code
New York	NY	10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary
 ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2796.14

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	7		2	9		2	0	1	0

Transaction ID: 18450446

Amount of Each Receipt this Period

248.36

Bank Fee Reimbursement

SUBTOTAL of Receipts This Page (optional)

248.36

TOTAL This Period (last page this line number only)

248.36

SCHEDULE B (FEC Form 3X) **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 56 / 61

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A. Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 18398101 Date of Disbursement																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>7</td><td></td><td>0</td><td>6</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	7		0	6		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
0	7		0	6		2	0	1	0												
City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td colspan="10">134.10</td> </tr> </table>	134.10																			
134.10																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
B. Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 18398102 Date of Disbursement																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>7</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	7		0	2		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
0	7		0	2		2	0	1	0												
City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td colspan="10">4.95</td> </tr> </table>	4.95																			
4.95																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
C. Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 18398103 Date of Disbursement																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>7</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	7		0	2		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
0	7		0	2		2	0	1	0												
City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td colspan="10">23.00</td> </tr> </table>	23.00																			
23.00																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				

SUBTOTAL of Disbursements This Page (optional)

162.05

TOTAL This Period (last page this line number only)

SCHEDULE B (FEC Form 3X) **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 57 / 61

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City
Washington

State
DC

Zip Code
20005

Purpose of Disbursement

Bank Fees

Candidate Name

001

Category/
Type

Office Sought:

☐ House

☐ Senate

☐ President

State:

District:

Disbursement For:

☐ Primary

☐ General

☐ Other (specify) ▼

Transaction ID: 18398104

Date of Disbursement

07 / 02 / 2010

Amount of Each Disbursement this Period

37.60

Bank Fees

B.

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City
Washington

State
DC

Zip Code
20005

Purpose of Disbursement

Bank Fees

Candidate Name

001

Category/
Type

Office Sought:

☐ House

☐ Senate

☐ President

State:

District:

Disbursement For:

☐ Primary

☐ General

☐ Other (specify) ▼

Transaction ID: 18398105

Date of Disbursement

07 / 02 / 2010

Amount of Each Disbursement this Period

48.71

Bank Fees

SUBTOTAL of Disbursements This Page (optional)

86.31

TOTAL This Period (last page this line number only)

248.36

SCHEDULE B (FEC Form 3X) **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 58 / 61

☐ 21b ☐ 22 ☒ 23 ☐ 24 ☐ 25 ☐ 26
☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A. Full Name (Last, First, Middle Initial)
Allyson Schwartz For Congress

Mailing Address P.O. Box 2232

City State Zip Code
Jenkintown PA 19046

Purpose of Disbursement
Contribution

Candidate Name
Rep. Allyson Y. Schwartz

011
Category/
Type

Office Sought: ☒ House
☐ Senate
☐ President

Disbursement For: 2010
☐ Primary ☒ General
☐ Other (specify) ▼

State: PA District: 13

Transaction ID: 18442484

Date of Disbursement

07 / 23 / 2010

Amount of Each Disbursement this Period

1500.00

Contribution

B. Full Name (Last, First, Middle Initial)
Democratic Congressional Campaign Committee

Mailing Address 430 South Capitol Street, SE

City State Zip Code
Washington DC 20003

Purpose of Disbursement
Contribution

Candidate Name
Democratic Congressional Campaign Committee

011
Category/
Type

Office Sought: ☐ House
☐ Senate
☐ President

Disbursement For:
☐ Primary ☐ General
☐ Other (specify) ▼

State: District:

Transaction ID: 18442485

Date of Disbursement

07 / 23 / 2010

Amount of Each Disbursement this Period

5000.00

Contribution

C. Full Name (Last, First, Middle Initial)
Democratic Senatorial Campaign Committee

Mailing Address 120 Maryland Avenue, NE

City State Zip Code
Washington DC 20002

Purpose of Disbursement
Contribution

Candidate Name
Democratic Senatorial Campaign Committee

011
Category/
Type

Office Sought: ☐ House
☐ Senate
☐ President

Disbursement For:
☐ Primary ☐ General
☐ Other (specify) ▼

State: District:

Transaction ID: 18442487

Date of Disbursement

07 / 23 / 2010

Amount of Each Disbursement this Period

5000.00

Contribution

SUBTOTAL of Disbursements This Page (optional)

11500.00

TOTAL This Period (last page this line number only)

SCHEDULE B (FEC Form 3X) **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 59 / 61

☐ 21b ☐ 22 ☒ 23 ☐ 24 ☐ 25 ☐ 26
☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A. Full Name (Last, First, Middle Initial) Chet Edwards For Congress	Transaction ID: 18442493 Date of Disbursement
Mailing Address PO Box 23273	<div> <div>07</div> <div>23</div> <div>2010</div> </div>
City Waco State TX Zip Code 76702	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution Candidate Name Rep. Chet Edwards	<div>1000.00</div>
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: TX District: 17	Contribution
Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
B. Full Name (Last, First, Middle Initial) Spratt For Congress Committee	Transaction ID: 18442496 Date of Disbursement
Mailing Address PO Box 830	<div> <div>07</div> <div>23</div> <div>2010</div> </div>
City York State SC Zip Code 29745	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution Candidate Name Rep. John McKee Spratt, Jr.	<div>1000.00</div>
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: SC District: 05	Contribution
Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
C. Full Name (Last, First, Middle Initial) Carper For Senate	Transaction ID: 18442498 Date of Disbursement
Mailing Address 19 East Commons Blvd Second Floor	<div> <div>07</div> <div>23</div> <div>2010</div> </div>
City New Castle State DE Zip Code 19720	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution Candidate Name Sen. Thomas R. Carper	<div>1000.00</div>
Office Sought: <input type="checkbox"/> House <input checked="" type="checkbox"/> Senate <input type="checkbox"/> President State: DE District:	Contribution
Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	

SUBTOTAL of Disbursements This Page (optional)

3000.00

TOTAL This Period (last page this line number only)

SCHEDULE B (FEC Form 3X) **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 60 / 61

☐ 21b ☐ 22 ☒ 23 ☐ 24 ☐ 25 ☐ 26
☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A. Full Name (Last, First, Middle Initial) Earl Pomeroy For Congress	Transaction ID: 18442500 Date of Disbursement
Mailing Address Post Office Box 9336	<div> <div>M M / D D / Y Y Y Y</div> <div>0 7 / 2 3 / 2 0 1 0</div> </div>
City Fargo State ND Zip Code 58106	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution	<div>1000.00</div>
Candidate Name Rep. Earl Pomeroy	<div>011</div> Category/Type
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: ND District: 01	Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
Contribution	
B. Full Name (Last, First, Middle Initial) Scott Murphy For Congress	Transaction ID: 18442503 Date of Disbursement
Mailing Address 5 South Side Dr #224	<div> <div>M M / D D / Y Y Y Y</div> <div>0 7 / 2 3 / 2 0 1 0</div> </div>
City Clifton Park State NY Zip Code 12065	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution	<div>2000.00</div>
Candidate Name Rep. Scott M. Murphy	<div>011</div> Category/Type
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 20	Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
Contribution	
C. Full Name (Last, First, Middle Initial) Friends Of Jeb Hensarling	Transaction ID: 18442504 Date of Disbursement
Mailing Address PO Box 820504	<div> <div>M M / D D / Y Y Y Y</div> <div>0 7 / 2 3 / 2 0 1 0</div> </div>
City Dallas State TX Zip Code 75382	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution	<div>3000.00</div>
Candidate Name Rep. Jeb Hensarling	<div>011</div> Category/Type
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: TX District: 05	Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
Contribution	

SUBTOTAL of Disbursements This Page (optional)

6000.00

TOTAL This Period (last page this line number only)

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.	Full Name (Last, First, Middle Initial) Judy Biggert For Congress	Transaction ID: 18442506																				
	Mailing Address P.O. Box 637	Date of Disbursement <table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>7</td><td></td><td>2</td><td>3</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	7		2	3		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y													
0	7		2	3		2	0	1	0													
	City Hinsdale State IL Zip Code 60522	Amount of Each Disbursement this Period																				
	Purpose of Disbursement Contribution Candidate Name Rep. Judy Biggert Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: IL District: 13	<table border="1"> <tr> <td colspan="10">1000.00</td> </tr> </table>	1000.00																			
1000.00																						
		Contribution																				
B.	Full Name (Last, First, Middle Initial) National Republican Congressional Committee	Transaction ID: 18442507																				
	Mailing Address 320 First Street, SE	Date of Disbursement <table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>7</td><td></td><td>2</td><td>3</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	7		2	3		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y													
0	7		2	3		2	0	1	0													
	City Washington State DC Zip Code 20003	Amount of Each Disbursement this Period																				
	Purpose of Disbursement Contribution Candidate Name National Republican Congressional Committee Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: District:	<table border="1"> <tr> <td colspan="10">5000.00</td> </tr> </table>	5000.00																			
5000.00																						
		Contribution																				
C.	Full Name (Last, First, Middle Initial) National Republican Senatorial Committee	Transaction ID: 18442508																				
	Mailing Address 425 2nd Street, NE	Date of Disbursement <table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>7</td><td></td><td>2</td><td>3</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	7		2	3		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y													
0	7		2	3		2	0	1	0													
	City Washington State DC Zip Code 20002	Amount of Each Disbursement this Period																				
	Purpose of Disbursement Contribution Candidate Name National Republican Senatorial Committee Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: District:	<table border="1"> <tr> <td colspan="10">5000.00</td> </tr> </table>	5000.00																			
5000.00																						
		Contribution																				

SUBTOTAL of Disbursements This Page (optional)

11000.00

TOTAL This Period (last page this line number only)

31500.00